

Customized FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.

P06682US0/RFH

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO.

09/486962

INTERNATIONAL APPLICATION NO.  
PCT/FR98/01879

INTERNATIONAL FILING DATE  
02 SEPTEMBER 1998

PRIORITY DATE CLAIMED  
04 SEPTEMBER 1997

TITLE OF INVENTION: METHOD AND INSTALLATION FOR UPLOADING A USER'S DECODER PLATFORM

APPLICANT(S) FOR DO/EO/US: CHEVREUL, J. et al.

Applicant herewith submits to the US Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 USC 371.
- ☒ 3. This express request to begin national examination procedures (35 USC 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 USC 371(b) and PCT Art. 22 and 39(1).
- ☐ 4. A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.
- ☒ 5. A **copy** of the International Application as filed (35 U.S.C. 371 (c)(2))
- ☐ a. is transmitted herewith (required only if not transmitted by the International Bureau).
- ☒ b. has been transmitted by the International Bureau.
- ☐ c. is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☒ 6. A **translation** of the International Application into English (35 U.S.C. 371(c)(2)).
- ☒ 7. Amendments to the claims of the International Appln. under PCT Article 19 (35 USC 371 (c)(3))
- ☐ a. are transmitted herewith (required only if not transmitted by the International Bureau).
- ☐ b. have been transmitted by the International Bureau.
- ☐ c. have not been made; however, the time limit for making such amendments had NOT expired.
- ☒ d. have not been made and will not be made.
- ☐ 8. A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- ☐ 9. An **oath** or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- ☐ 10. A translation of the annexes to the Int'l Prelim. Exam. Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern document(s) or information included:**
- ☐ 11. An **Information Disclosure Statement** under 37 C.F.R. 1.97 and 1.98.
- ☐ 12. An **Assignment** document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- ☒ 13. A **First preliminary amendment**.
- ☐ A Second or subsequent preliminary amendment.
- ☐ 14. A substitute specification.
- ☐ 15. A change of power of attorney and/or address letter.
- ☐ 16. Other items or information:
- ☐ **Small Entity Statement**
- ☐ A copy of the Notification of Missing Requirements under 35 U.S.C. 371.
- ☐ In the event that a petition for extension of time is required to be submitted herewith, and in the event that a separate petition does not accompany this response, applicant hereby petitions under 37 CFR 1.136(a) for an extension of time of as many months as are required to render this submission timely. Any fee is authorized in 17(c).

Date: 03 March 2000

428 Rec'd PCT/PTO 03 MAR 2000

U.S. APPLICATION NO. <b>09/486962</b>		INTERNATIONAL APPLICATION NO. PCT/FR98/01879		ATTORNEY DOCKET NO. P06682US0											
<input checked="" type="checkbox"/> 17. The following fees are submitted: <input checked="" type="checkbox"/> <b>Basic National Fee</b> (37 CFR 1.492 (a) (1)-(5): <table border="0"> <tr> <td><input type="checkbox"/> Neither Int'l Prelim. Exam. fee nor Int'l Search fee paid to USPTO</td> <td>\$ 970</td> </tr> <tr> <td><input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO</td> <td>\$ 840</td> </tr> <tr> <td><input type="checkbox"/> No Int'l Prelim. Ex. fee paid to USPTO but Int'l Search fee paid to USPTO</td> <td>\$ 690</td> </tr> <tr> <td><input type="checkbox"/> International preliminary examination fee paid to USPTO</td> <td>\$ 670</td> </tr> <tr> <td><input type="checkbox"/> Int'l Prelim. Ex. fee paid to USPTO &amp; all claims satisfied PCT Art. 33(1)-(4)</td> <td>\$ 96</td> </tr> </table>				<input type="checkbox"/> Neither Int'l Prelim. Exam. fee nor Int'l Search fee paid to USPTO	\$ 970	<input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO	\$ 840	<input type="checkbox"/> No Int'l Prelim. Ex. fee paid to USPTO but Int'l Search fee paid to USPTO	\$ 690	<input type="checkbox"/> International preliminary examination fee paid to USPTO	\$ 670	<input type="checkbox"/> Int'l Prelim. Ex. fee paid to USPTO & all claims satisfied PCT Art. 33(1)-(4)	\$ 96	<b>CALCULATIONS PTO USE ONLY</b>          	
<input type="checkbox"/> Neither Int'l Prelim. Exam. fee nor Int'l Search fee paid to USPTO	\$ 970														
<input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO	\$ 840														
<input type="checkbox"/> No Int'l Prelim. Ex. fee paid to USPTO but Int'l Search fee paid to USPTO	\$ 690														
<input type="checkbox"/> International preliminary examination fee paid to USPTO	\$ 670														
<input type="checkbox"/> Int'l Prelim. Ex. fee paid to USPTO & all claims satisfied PCT Art. 33(1)-(4)	\$ 96														
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$ 840.00											
<input type="checkbox"/> Surcharge of \$130 for furnishing the oath or declaration later than from the earliest claimed priority date (37 CFR 1.492(e)). <table border="0"> <tr> <td><input type="checkbox"/> 20 mos.</td> <td></td> </tr> <tr> <td><input type="checkbox"/> 30 mos. +</td> <td>\$</td> </tr> </table>				<input type="checkbox"/> 20 mos.		<input type="checkbox"/> 30 mos. +	\$								
<input type="checkbox"/> 20 mos.															
<input type="checkbox"/> 30 mos. +	\$														
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>												
Total Claims	10 - 20 =		X \$18 =	\$											
Independent Claims	02 - 03 =		X \$78 =	\$											
<input type="checkbox"/> Multiple Dependent Claim(s) (if applicable)			+ \$260 =	\$											
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 840.00											
<input type="checkbox"/> Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed.				\$											
<b>SUBTOTAL =</b>				\$ 840.00											
<input type="checkbox"/> Processing fee of \$130 for furnishing the English translation later than from the earliest claimed priority date (37 CFR 1.492(f)). <table border="0"> <tr> <td><input type="checkbox"/> 20 mos.</td> <td></td> </tr> <tr> <td><input type="checkbox"/> 30 mos. +</td> <td>\$</td> </tr> </table>				<input type="checkbox"/> 20 mos.		<input type="checkbox"/> 30 mos. +	\$								
<input type="checkbox"/> 20 mos.															
<input type="checkbox"/> 30 mos. +	\$														
<b>TOTAL NATIONAL FEE =</b>				\$ 840.00											
<input type="checkbox"/> Fee for recording the enclosed assignment, accompanied by a cover sheet - \$40 per property				\$											
<b>TOTAL FEES ENCLOSED =</b>				\$ 840.00											
Amount to be				Refunded	\$										
				Charged	\$										
<input checked="" type="checkbox"/> a. A check in the amount of \$ 840.00 to cover the above fees is enclosed. <input type="checkbox"/> b. Please charge my Deposit Account No. 12-0555 in the amount of \$ to cover the above fees. <input checked="" type="checkbox"/> c. The Commissioner is hereby authorized to charge any additional fees required or credit overpayment to Deposit Account No. 12-0555.															
<b>Note:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.															
SEND ALL CORRESPONDENCE TO:  <b>ROSS F. HUNT, JR.</b>  At the address (below) of <b>CUSTOMER NO. 000881.</b>  <b>LARSON &amp; TAYLOR, PLC</b> <b>1199 NORTH FAIRFAX ST.</b> <b>SUITE 900</b> <b>ALEXANDRIA, VA 22314</b>			SIGNATURE: <u>Douglas E Jackson</u> NAME: DOUGLAS E. JACKSON REG. NO.: 28518 PHONE NO.: 703-739-4900 Date: 03 MARCH 2000												

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
Jean-Jacques CHEVREUL et al. )  
New U.S. Patent Appln. )  
corr. to Int'l Patent )  
Appln. No. PCT/FR98/01879 )  
Filed; September 2, 1998 )

For: METHOD AND AN INSTALLATION FOR DOWNLOADING A  
USER DECODER PLATFORM

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

S I R

Prior to examination, please amend the application  
as follows:

IN THE CLAIMS

Please delete claims 1-10 and insert claims 11-20 as  
follows:

11/ A method of downloading operating software  
specific to one of a plurality of operators into a

general-purpose digital television platform of a decoder, comprising the steps of:

· storing a boot loader including filter fields specific to the decoder definitively on manufacture in a protected and non-rewritable memory zone of the platform;

· periodically broadcasting a message identifying the platform and containing operating software making the platform suitable for decoding a data stream of a television signal of an operator and for processing services of said operator periodically in a digital television signal that comes from each of the operators that made an agreement with a manufacturer of the platform and that is designed to be accessible, each of said messages having an electronic signature;

· on reception, filtering messages containing the operating software and identifying the platform and the operator in response to a user selection command, using the filter fields and writing said messages into a rewritable program memory.

12/ A method according to claim 11, wherein the operating software is transmitted in the form of data to be programmed in said rewritable memory, in the form of data blocks each copied at a respective address of the rewritable memory and supplied in the header of the block.

13/ A method according to claim 12, wherein said data blocks are each preceded by a header block comprising a description of the respective application and a description of each of the data blocks.

14/ A method according to claim 13, wherein each said data block includes an error correction code.

15/ A method according to claim 13 , wherein the header includes at least one of the following fields:

- an identity of the platform manufacturer ;
- a hardware version of the platform);
- a mode of acquisition of the decoder by a customer ;
- an identity of the current version of the software ; and
- an individual serial number of the decoder .

16/ A method according to claim 2, wherein SI or PSI information is associated with each said broadcast message containing operating software and said information includes at least one of a plurality of fields selected among:

- identity of a manufacturer of the platform;
- hardware version of the platform;
- decoder acquisition mode;
- identity of a current version of software loaded in the platform; and
- an individual serial number of the decoder.

17/ A method according to claim 14, wherein each of the data blocks is associated with an encrypted signature included in the header, and in that the header itself includes an encrypted signature.

18/ A system for downloading application software into digital television decoder platforms, comprising:

- in each of said platforms, a general-purpose processor module that is independent of any television operator, that contains identification keys, and that is arranged:

to extract a data stream representing operating software specific to a program pack offered by an operator and coming from that one of a plurality of operators that is selected at that time by the user, to authenticate the application software by implementing the identification keys and

to record the software in a rewritable program memory for storing said software, and to control the decoder to implement the services identified by the software; and

in a broadcasting station, means for repetitively inserting in a broadcast digital data stream both a sequence of blocks representing said application software and information describing identification features of only those decoders that are to be loaded.

19/ An installation according to claim 18, wherein the processor module comprises, in addition to the rewritable memory, a processor, a volatile memory (36) that is directly accessible by the processor, and a non-volatile memory zone which is protected, not rewritable, and which is protected against access from the outside.

20/ An installation according to claim 19, wherein the protected non-volatile memory zone is part of a flash memory.

#### REMARKS

Claims 11 - 20 are in the case. The claims of the PCT application have been reviewed for better compliance with U.S. patent Office practice and for removing

multiple dependencies. They further take account of prior art cited during the preliminary international examination.

An early and favorable action allowing claims, all claims in the case, is respectfully requested.

Respectfully submitted,

Date: March 3, 2000

By: Douglas E. Jackson  
Douglas E. Jackson  
Reg. No. 28518

LARSON & TAYLOR  
TRANSPOTOMAC PLAZA  
1199 NORTH FAIRFAX STREET, SUITE 900  
ALEXANDRIA, VIRGINIA 22314-1437

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jean-Jacques CHEVREUL and Michel PONS

Serial No:

Filed:

For: A METHOD AND AN INSTALLATION FOR DOWNLOADING A USER DECODER  
PLATFORM

DECLARATION

I, Andrew Scott Marland, of 35, avenue Chevreul, 92270 BOIS COLOMBES, France, declare that I am well acquainted with the English and French languages and that the attached translation of the French language PCT international application, Serial No. PCT/FR98/01879 is a true and faithful translation of that document.

All statements made herein are to my own knowledge true, and all statements made on information and belief are believed to be true; and further, these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any document or any registration resulting therefrom.



Date: February 25, 2000

Andrew Scott Marland

---



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
Jean-Jacques CHEVREUL et al. )  
 )  
New U.S. Patent Appln. )  
corr. to Int'l Patent )  
Appln. No. PCT/FR98/01879 )  
 )  
Filed: September 2, 1998 )  
 )

For: A METHOD AND AN INSTALLATION FOR DOWNLOADING A  
USER DECODER PLATFORM

PRELIMINARY AMENDMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

S I R:

Prior to examination, please amend the application  
as follows:

IN THE CLAIMS

Please delete claims 1-10 and insert claims 11-20 as  
follows :

11/ A method of downloading operating software  
specific to one of a plurality of operators into a

general-purpose digital television platform of a decoder, comprising the steps of:

- storing a boot loader including filter fields specific to the decoder definitively on manufacture in a protected and non-rewritable memory zone of the platform;

- periodically broadcasting a message identifying the platform and containing operating software making the platform suitable for decoding a data stream of a television signal of an operator and for processing services of said operator periodically in a digital television signal that comes from each of the operators that made an agreement with a manufacturer of the platform and that is designed to be accessible, each of said messages having an electronic signature;

- on reception, filtering messages containing the operating software and identifying the platform and the operator in response to a user selection command, using the filter fields and writing said messages into a rewritable program memory.

12/ A method according to claim 11, wherein the operating software is transmitted in the form of data to be programmed in said rewritable memory, in the form of data blocks each copied at a respective address of the writable memory and supplied in the header of the block.

13/ A method according to claim 12, wherein said data blocks are each preceded by a header block comprising a description of the respective application and a description of each of the data blocks.

14/ A method according to claim 13, wherein each said data block includes an error correction code.

15/ A method according to claim 13 , wherein the header includes at least one of the following fields:

- an identity of the platform manufacturer ;
- a hardware version of the platform);
- a mode of acquisition of the decoder by a customer ;
- an identity of the current version of the software ; and
- an individual serial number of the decoder .

16/ A method according to claim 2, wherein SI or PSI information is associated with each said broadcast message containing operating software and said information includes at least one of a plurality of fields selected among:

- identity of a manufacturer of the platform;
- hardware version of the platform;
- decoder acquisition mode;
- identity of a current version of software loaded in the platform; and
- an individual serial number of the decoder.

17/ A method according to claim 14, wherein each of the data blocks is associated with an encrypted signature included in the header, and in that the header itself includes an encrypted signature.

8/ A system for downloading application software into digital television decoder platforms, comprising:

- in each of said platforms, a general-purpose processor module that is independent of any television operator, that contains identification keys, and that is arranged:

COPY

to extract a data stream representing operating software specific to a program pack offered by an operator and coming from that one of a plurality of operators that is selected at that time by the user, to authenticate the application software by implementing the identification keys and

to record the software in a rewritable program memory for storing said software, and to control the decoder to implement the services identified by the software; and

in a broadcasting station, means for repetitively inserting in a broadcast digital data stream both a sequence of blocks representing said application software and information describing identification features of only those decoders that are to be loaded.

19/ An installation according to claim 18, wherein the processor module comprises, in addition to the rewritable memory, a processor, a volatile memory (36) that is directly accessible by the processor, and a non-volatile memory zone which is protected, not rewritable, and which is protected against access from the outside.

20/ An installation according to claim 19, wherein the protected non-volatile memory zone is part of a flash memory.

#### REMARKS

Claims 11 - 20 are in the case. The claims of the PCT application have been reviewed for better compliance with U.S. patent Office practice and for removing

212245

1

09/486962  
428 Rec'd PCT/PTO 03 MAR 2000

# A METHOD AND AN INSTALLATION FOR DOWNLOADING A USER DECODER PLATFORM

The present invention relates to the field of decoders used by subscribers to digital television, in particular when access is conditional.

Most digital television operators presently broadcasting in Europe offer decoders for hire. Such decoders enable all of the services of a given operator to be received. Abroad, decoders are already being sold by retail chains. However, each decoder is dedicated to a single operator or to a well-determined and unvarying group of operators. Consumers are not keen to buy such relatively expensive goods, particularly when they are not sure that they will enjoy the program pack offered by the operator or when they know that a purchased decoder will not be usable for receiving a pack that becomes available in the future.

The continuing increase in the number of television operators and in the additional services they provide, such as electronic program guides, pay-per-view, etc., make this situation less and less acceptable for the user.

The hardware platforms for decoders that receive satellite-broadcast television directly are standardized. ETSI's DVB standard requires all manufacturers to use a common hardware structure for decoders. In addition, it optionally provides for a common interface enabling modules for controlling access to different program packs to be connected in the form of PCMCIA cards suitable for insertion in a connector of a decoder. That solution is expensive. It requires numerous functions to be duplicated. Although it enables television broadcasts coming from a plurality of operators to be received by changing card, it generally does not give access to the associated services.

An additional difficulty lies in that the platforms for receiving a single pack can come from a variety of

suppliers using different hardware, and only having a common application engine as imposed by the operator such as OPEN TV, MEDIA HIGHWAY, DAVID (digital audio-video interacting decoding), constituting a software layer at intermediate level. However, different operators generally require different application engines. Furthermore, a later version of the same platform can include additional features, giving access to services which at present remain inaccessible to people who possess earlier versions.

Documents US-A-5 440 632 and US-A-5 619 250, to which reference can be made, describe television terminals having respective platforms designed to download program updates for controlling the microprocessors in all terminals, in some terminals only, or in a single terminal. However those documents do not envisage the possibility of making it possible to switch from one operator to another.

The present invention seeks in particular to provide a method and apparatus making it possible for a decoder platform to be general-purpose, suitable for receiving broadcasts coming from different operators, regardless of whether they use the same access control mode and/or the same application engine.

To this end, the invention provides in particular a method of downloading application software specific to an operator into a general-purpose digital television decoder platform, in which:

- a secure boot loader is stored definitively in a protected and non-rewritable memory zone of the platform;
- a message identifying the platform and containing the application program making the platform suitable for decoding the data stream of the television signal of an operator and for processing its services is broadcast periodically in the digital television signal that comes from the operator and that is designed to be accessible, each of said messages having an electronic signature;

· on reception, the messages containing the program and identifying the platform and the operator are selected, decoded, and written into a rewritable program memory, optionally on user command.

5        Thus, either initially or during a subsequent download, the user can select an operator chosen from a list of operators who have made agreements with the decoder manufacturer, even though they might use languages (API) that are very different from one another  
10      for describing their applications or services.

Both in structure and in function, this method is completely different from merely downloading an update of supplementary software, reserved to subscribers of a single operator. It is also very different from merely  
15      transmitting messages for managing access authorizations, known as EMM. It makes it possible to access any one of a plurality of different packs using the same platform, and to do so in simple manner.

Two different situations can arise; both of them can  
20      be dealt with by implementing the invention.

The first situation is where the operator seeks to allow a user who already has a decoder to abandon the pack of a competitor in favor of the operator's own pack. Under these circumstances, the user cancels the  
25      subscription to the competitor's pack and subscribes to the new pack by a procedure that can be conventional, and requests downloading of the application software for the pack that is to be received. In the software as broadcast, the operator includes filter elements allowing  
30      only that particular owner of a platform to store the program. Thereafter, the user, e.g. by means of the remote control, calls the boot loader program which presents a menu enabling the user, again by means of the remote control, to input the parameters of the  
35      transponder for the pack that is to be received. The downloading process is then launched and its duration

depends on the bandwidth allocated by the operator to this function in the broadcast.

The downloaded application software is written in a program memory. It can be a flash memory which takes a long time to write. For an operator who makes provision for this possibility only, it can suffice to transmit the application software giving access to the pack overnight only and in the form of successive packets transmitted at long intervals, which puts very little burden on the data rate available for television and other kinds of data.

The other situation is where competing operators wish to allow a common subscriber to jump between packs. Under such circumstances, an application program can be downloaded frequently in order to replace a program in memory. In order to avoid a wait that is too long (due to the time required to write flash memory), the programs are then stored and executed from program RAM that replaces or constitutes a front end for the flash memory. The presence of flash memory in addition to RAM makes it possible to conserve a version of the program in non-volatile form. In the absence of flash memory, downloading needs to be performed after each power interruption.

In addition to downloads performed at the initiative of the subscriber, it is possible to make provision for imposing updating downloads or function-adding downloads to take account of operating changes.

The method must satisfy two requirements. It must be selective, i.e. it must enable only certain platforms to be targeted; and it must be effective, making it possible within a given message to designate all of the platforms which are to receive the same version of the software.

These two functions can be performed by an operation that can be referred to as "filtering", which consists in specifying the decoders concerned by a given data stream by means of indications written either in the header of a



software download stream or in the information tables associated with services (PSI and SI). For this purpose, the header (or the PSIs or the SIs) can include a plurality of fields defining characteristics which are also recorded in the platforms. These characteristics can be unchanging, such as those of the hardware portion, and others can be changing, such as those of the software portion.

The invention also proposes an installation for downloading application software into digital television decoder platforms, the installation comprising:

- in each platform, a general-purpose processor module that is independent of any operator and that serves: to select and extract a data stream representing application software specific to the program pack offered by an operator, to record it in a rewritable program memory for storing said software, and to control the decoder to implement the services identified by the software; and

- with the broadcaster, means for inserting in repetitive manner in the broadcast digital data stream both a sequence of blocks representing said specific software and information describing the characteristics of only those decoders that are to be loaded.

The selection and extraction means can be constituted by a general-purpose processor module that is independent of the operator for performing all of the functions.

In a variant embodiment, all or part of the program (or of software giving access to the program) can be transmitted over the telephone network, providing the platform includes means for being coupled thereto. Nevertheless, this complication is generally not necessary since the bandwidth required for transmitting an application in a reasonable length of time remains small. For example, if an operator is using a satellite channel with a bandwidth of 36 MHz together with four

transponders, only 1% of the available data rate, i.e. about 1.2 Mbits/s needs to be given over to downloading a piece of software of average length, 1 MByte, in about 8 seconds.

5        If program changing is expected to be exceptional, for the purpose of changing subscription, then transmission can be performed at an average data rate that is extremely low and that will have no perceptible influence on the available bandwidth.

10       The above characteristics and others will appear better on reading the following description of a particular embodiment, given by way of non-limiting example. The description refers to the accompanying drawings, in which:

- 15       • Figure 1 is a block diagram showing the hardware architecture of a platform comprising a decoder associated with a television set;
- Figure 2 is a diagram showing downloading;
- Figure 3 shows one possible header structure (or
- 20       private descriptor in a PSI or an SI table) for filtering purposes;
- Figure 4 shows a loading sequence; and
- Figure 5 is a diagram showing one possible way of managing keys.

25       The invention is described essentially in its application to a decoder for receiving digital television signals of the MPEG2 type, constituted by a multiplex made up of successive packets. The packets convey:

- the audio and video components; and
- 30       • digital data, including the software to be downloaded.

The architecture of a decoder platform is generally as shown diagrammatically in Figure 1. It comprises:

- a network interface 10 performing reception and
- 35       demodulation functions, and of structure that depends on the network (cable network, satellite direct broadcast, terrestrial broadcast network);

- a time demultiplexer 12 which also performs unscrambling, for separating the components of the received signal;
- audio and video decoders 14 and 16; and
- a data processing and decoder management module 18.

The operation of the demultiplexer 12 depends on the module 18. It serves to direct video packets to the video decoder 14, audio packets to the audio decoder 16, and data to the module 18. It unscrambles the components that have been scrambled on transmission to control access.

The audio and video decoders 14 and 16 perform MPEG2 decompression and deliver the decompressed digital information to digital-to-analog converters 20 and 22 which output audio and video signals usable by a television set.

The module 18 manages all of the elements that are internal to the decoder and also user interface elements 24 such as a keypad, a remote control infrared receiver 23, and a display. It can also drive an input/output interface 25 connected to optional elements suitable for extending the facilities available, such as a telephone modem 26 or a high-speed interface 28 for connection to a microcomputer. The processor is also generally connected to a connector 29 for receiving a microcircuit card or smart card, e.g. containing circuits for computing an unscrambling key.

The module 18 has a processor 30 connected by a bus 32 to memories. In conventional manner, these memories comprise:

- a read-only memory or ROM 34 which is not volatile and not reprogrammable without hardware intervention, which memory is directly accessible by the processor;
- a volatile working memory or RAM 36, directly addressable by the processor and intended for manipulating data.

To enable the invention to be implemented, the memories also include additional memory spaces serving in particular to store:

- a loader program for initialization and starting purposes, referred to as a "boot loader", situated in a memory zone that is not volatile, protected, and not rewritable (the non-rewritable nature of this zone can be obtained, for example, by masking during manufacture); and

- the complete operating software for a digital program pack specific to a private operator, with this being in a zone that is rewritable.

In the example shown in Figure 1, the memories comprise, for this purpose:

- a reprogrammable non-volatile memory 38 that is directly accessible by the processor, serving to receive the application software, e.g. a flash memory; this memory can be designed to store the programs specific to a plurality of packs if the platform is designed to make it possible to jump between packs without having to wait for re-loading; in general, it contains the operating software;

- a non-volatile memory 40 designed to receive configuration data for the decoder; this memory which is not necessarily addressable by the processor can be an electrically reprogrammable read-only memory or EEPROM.

The ROM 34 can be a non-modifiable portion of the memory 38, if the memory 38 is a flash memory.

The software architecture of the decoder can be considered as having three functional levels or layers, the driver layer, the system layer, and the interactive application layer.

The driver layer is specific and matches the hardware architecture. It is this layer which makes it possible to perform the hardware functions provided by the decoder.

The system layer manages the platform and provides the general services, including the application engine, that are required to enable it to operate, and also the services that are called by the interactive applications.

5 To perform this function, the system layer generally has an interpreter, serving to transform source code into object code. However a compiler is not necessary since it suffices if transformation is performed on each new use of the system layer.

10 Finally, the interactive application layer provides local interactivity and makes use of the application engine; it can also be designed to constitute the interface with the modem 26 for connection to a telephone line. This layer has user interface applications which  
15 call on services provided by the system layer.

The applications and the associated resources are partially resident, i.e. stored in permanent manner in the ROM of the decoder, and they are partially downloaded by the system layer from the MPEG2 standard television  
20 signal.

The user interface applications are generally written in a script language. The system layer interprets the script language information and manages activation and downloading of interactive applications.  
25 This system layer is loaded into the platform in the form of a code that can be interpreted directly by the processor 30.

Switching from one pack to another corresponds mainly to reconfiguring the memories.

30

#### Downloading operations

An application program is downloaded as follows.

Changing pack implies loading all of the software enabling the pack to be processed, and this is  
35 independent of any special features concerning access control mode.

For this purpose, it is necessary to load or change software residing in the decoder, which is done by reinitializing all of the program memory 38, which is generally a flash memory.

5       The data which is transmitted to the platform during downloading to reinitialize the flash memory 38 is the same for all platforms having the same hardware structure.

10       The diagram of Figure 2 corresponds to downloading making use of the data portion of the broadcast stream. The software to be loaded is in the form of a file. Within the platform, it is extracted and sent to RAM 36 where it is reassembled prior to being written in the program memory 38 which will thus end up with the driver  
15       layer, the system layer, and the application layer, including the application engine.

      Under other circumstances, downloading can take place via the input/output interface 25, using a modem or a microcomputer.

20       Under all circumstances, downloading implies, at the broadcaster, generating image files for writing in the program memory 38 of the platform. These files can be of a very wide variety of kinds:

- already-compiled object files;
- 25       • applications written in script language;
- other functions such as a library function.

      The "image" files as constituted in this way are then formatted to adapt them to the method of transmission that is to be used, i.e. either over the  
30       television program broadcast network or else over the wire network.

      In both cases, the first operation performed in the platform, on receiving files, is selectivity filtering so that only those applications programs which come from a  
35       specific program supplier are loaded. As explained below, this operation can be accompanied by checking an

electronic signature in the header of the data stream constituting the application software to be loaded.

### Filtering

5        Selectivity filtering makes it possible to ensure that the application program is loaded into identified platforms only, and to ensure that it is loaded into all such platforms. At any given moment, there exists numerous types of platforms that are in operation, and as  
10    a general rule they contain different software. Even if they are of different types, platforms that are initially intended for a given operator or program supplier will all have the same application engine. However the application engine changes on switching from a platform  
15    programmed to receive the pack from a particular supplier or operator to a platform programmed for another operator: it therefore needs to be replaced in the application memory.

20        Depending on the origin of the decoder and the hardware architecture of the decoder, the elements which can change include the following:

- the manufacturer of the decoder, where manufacturers often make use of proprietary architecture;
- decoder acquisition mode (rental, purchase,  
25    purchase with a subsidy dedicating the decoder to a particular operator for a determined duration) which can give rise to different access control functions and thus to different system layers;
- date of acquisition, since the software might have  
30    been modified over time.

All of these elements are included in an identifier of the decoder, which identifier can include the following fields, in particular:

- C<sub>1</sub>: manufacturer identifier;
- 35    C<sub>2</sub>: version of the hardware software;
- C<sub>3</sub>: acquisition mode (rental, subsidized sale, non-subsidized sale, etc.);

$C_4$ : software identifier, specifying the version of the software currently loaded in the decoder;

$C_5$ : individual serial number of the decoder.

5 Unlike the others, the field  $C_4$  will be changed on each download.

To make filtering possible, an identifier is provided in each decoder, and each data stream representing application software includes parameters enabling reloading or updating operations to be performed  
10 only in appropriate decoders.

The header will include respective fields allocated to each of these parameters.

By way of example, Figure 3 shows one possible structure for the header of a data stream; this header is  
15 constituted by a block of  $N$  bytes, preceded by a block specifying the number  $N$ .

Each field of the decoder corresponds either to a single selection filter specified by the corresponding field of the header, or else to a plurality. Loading can  
20 take place in a decoder only when all of the filtering operations give rise to a positive result.

The first field  $C_1$  can be limited to a single filter  $F_1$  recorded in ROM, specifying the manufacturer concerned by means of an identity number ID.

25 The second field  $C_2$  can comprise a plurality of filters, corresponding to different versions of the platform, and a filtering operator constituted by an OR function: for the filtering result to be positive, it suffices that one of the filters  $F_{2i}$  recorded in ROM  
30 should match  $C_2$ .

The field  $C_3$  can be constituted by a single filter  $F_3$ , with the filtering operator then being an intersection. The result of filtering is positive if  
 $C_3 \wedge F_3$  is non-zero.

35 The field  $C_4$  has a single filter  $F_4$ , and the filtering operator is then the comparison operation  $C_4 < F_4$ :



loading needs to take place in all decoders that have not yet been updated.

The field  $C_5$  is generally longer than the others, and comprises 32 bits, for example; e.g. it will contain a plurality of filters  $F_{5j}$ , each giving a bottom limit and a top limit, identifying a series of decoders for which updating should be performed. The result of filtering is positive if the value contained in the field  $C_5$  of the identifier lies between the two values given by at least one of the filters  $F_{5j}$ .

The field  $C_6$  specifies the operator (or the operators) with whom a subscription has been taken out. It has one or more filters  $F_6$  recorded in rewritable memory.

#### Addressing

The data to be written in the application memory 38 is transmitted to the decoder with an indication of the addresses at which it is to be copied into the memory 38.

It can happen, particularly when a formatting RAM 36 is located upstream from the program memory 38, that the data for a complete program cannot be acquired in a single operation or using a single address.

Under such circumstances, the data representative of the software to be downloaded is transmitted to the decoder in the form of successive blocks of contiguous data, and the data of any one block is copied into the same address in the program memory 38. The loading of software into the program memory 38 can then be sequenced in the manner shown diagrammatically in Figure 4. Each of the successive data blocks has a starting address  $A_1, \dots, A_n$  specifying an address in the program memory 38, followed by a data portion  $D_1, \dots, D_n$ , and an error correcting code. These blocks are preceded by transmission of a header block 44 having an application descriptor DA and descriptors  $DD_1, \dots, DD_n$  for the successive blocks. The starting addresses make it

possible for writing to take place immediately in the program memory 38.

The header block identifies the application to be loaded and lists the blocks that make it up. The data blocks making up the application are managed on the basis of image blocks which have transport security information added thereto constituted by a code for detecting (and optionally correcting) any errors. This can be constituted in particular by a cyclic redundancy check, generally referred to by the abbreviation CRC.

In practice, when a subscription is being loaded, downloading takes place as follows. After switching on, the user starts the downloader program by pressing one or more keys of the remote control. This program presents a menu enabling the user to input parameters of the home transponder, and of the new program pack (at least frequency, polarization, error correction code rates, and symbol rate) by means of the remote control. To make this task easier, this information can be input in compact form, e.g. in the form of a few decimal digits given by the operator when the subscription is taken out. Pressing on the confirm key then launches downloading. This downloading operation relies on the monitoring and selection functions that use the fields  $C_1$ - $C_6$ . The following take place:

- the operator, the version number, and the manufacturer are checked;

- the version number, the manufacturer, the serial number are selected, with selection being possible without requiring an authentication process.

As mentioned above, downloading is made secure so as to prevent:

- downloading of data that is not transmitted by an authorized operator;

- downloading of data into a platform that is not authorized to receive it.

Security can be based on encryption using private and/or public keys. It is known that public key encryption uses an algorithm that is difficult to reverse, such that knowledge of the public key and of the encoded message does not suffice to return to the original message without performing calculations that will take an unrealistic length of time.

In Figure 4, dashed lines show additions to be provided to the header 44 so as to make the message secure.

Each data block is associated with a signature  $S_1$ , ...,  $S_n$  which is included in the header. The signature, as calculated from the data of the corresponding block, serves to verify that the block is authentic.

In addition, the header has a signature which is transmitted in encrypted form  $S$ . The encryption algorithm for the signature of the header block is a private key algorithm, e.g. of the RSA type. The private key is known only to the manufacturer. The non-encrypted signature is calculated on the basis of the encrypted signature  $S$  in the decoder by means of a public key algorithm stored in the ROM 34 or in a protected zone of the program memory 38, if it is a flash memory.

The signature  $S$  serves to verify the authenticity of the header block, and thus of the data that it carries, and in particular of the signatures  $S_1$ , ...,  $S_n$ .

The way in which keys and functions are shared when a plurality of operators 1, ...,  $i$  are grouped together to use common private keys, can be as shown in Figure 5. On the basis of common private keys, the operators give the manufacturer of the decoder software public keys which are written into the ROM 34 at the same time as the filters  $F_1$ ,  $F_{2i}$ ,  $F_{5j}$ .

The instructions for booting the decoder when it is put into operation are also stored in ROM, together with the updating loader of the terminal. To mitigate cases of corruption in the program memory 38, particularly if

it is a flash memory, due to an interruption occurring during loading, the updating function of the terminal is directly associated with the boot function of the decoder processor in the event of corruption being observed.

5       The invention makes it possible to allow relationships between operators and users to change in simple manner. Because the operator identifier is stored in flash memory, unlike the other parameters which are stored in ROM, it is possible to reallocate a hired  
10 decoder when it is returned. A decoder can be "freed" of any connection with any particular operator. Selection is performed by logic operations that are simple and that can be implicit by default.

In the particular circumstance of broadcasting using  
15 the MPEG2 standard, the data for updating and loading application software is conveyed in a private data DVD service of the type specified in the standard as "terminal update". The blocks constituting the software to be loaded are split up into elements having a maximum  
20 size of 4064 bytes, each element having a 16-byte header. A service for updating or reloading software is identified on the basis of network signalling data.

The method of the invention for downloading application software does not interfere in any way with  
25 downloading software updates from the current operator, i.e. the operator with whom the user has taken out a subscription.

## CLAIMS

1/ A method of downloading application software specific to an operator into a general-purpose digital television decoder platform, in which:

- 5           · a secure boot loader is stored definitively in a protected and non-rewritable memory zone of the platform;
- a message identifying the platform and containing the application program making the platform suitable for decoding the data stream of the television signal of an operator and for processing its services is broadcast
- 10           periodically in the digital television signal that comes from the operator and that is designed to be accessible, each of said messages having an electronic signature;
- on reception, the messages containing the program
- 15           and identifying the platform and the operator are selected, decoded, and written into a rewritable program memory (38), optionally on user command.

2/ A method according to claim 1, characterized in that

20           the application software is transmitted in the form of data to be programmed in said writable memory, in the form of data blocks each copied at a respective address ( $A_1, \dots, A_n$ ) of the writable memory and supplied in the header of the block.

25           3/ A method according to claim 2, characterized in that the data blocks are preceded by a header block comprising a description of the application and of each of the data blocks.

30           4/ A method according to claim 3, characterized in that each data block includes an error correction code, such as a cyclic redundancy code.

35           5/ A method according to claim 3 or 4, characterized in that the header includes at least one of the following fields:

- the identity of the platform manufacturer ( $C_1$ );
- the hardware version of the platform ( $C_2$ );
- the mode whereby the decoder was acquired ( $C_3$ );
- the identity of the current version of the  
5 software ( $C_4$ ); and
- the individual serial number of the decoder ( $C_5$ ).

6/ A method according to claim 2, characterized in that  
the SI or PSI information associated with the broadcast  
10 messages and containing application programs include at  
least one of the following fields:

- the identity of the platform manufacturer;
- the hardware version of the platform;
- the decoder acquisition mode;
- 15 • the identity of the current version of the  
software; and
- the individual serial number of the decoder.

7/ A method according to claim 4, 5, or 6, characterized  
20 in that each of the data blocks is associated with an  
encrypted signature included in the header, and in that  
the header itself includes an encrypted signature.

8/ An installation for downloading application software  
25 into digital television decoder platforms, the  
installation comprising:

- in each platform, a general-purpose processor  
module that is independent of any operator and that  
serves: to select and extract a data stream representing  
30 application software specific to the program pack offered  
by an operator, to record it in a rewritable program  
memory (38) for storing said software, and to control the  
decoder to implement the services identified by the  
software; and
- 35 • with the broadcaster, means for inserting in  
repetitive manner in the broadcast digital data stream  
both a sequence of blocks representing said specific

software and information describing the characteristics of only those decoders that are to be loaded.

5 9/ An installation according to claim 8, characterized in that the processor module comprises, in addition to the rewritable memory (38), a processor (30), a volatile working memory (36) that is directly accessible by the processor, and a non-volatile memory zone (34) which is protected, not rewritable, and which has secure access.

10

10/ An installation according to claim 9, characterized in that the protected non-volatile memory zone (34) forms part of a flash memory (38).

## A B S T R A C T

A METHOD AND AN INSTALLATION FOR DOWNLOADING A USER  
DECODER PLATFORM

5 To download the application software specific to an  
operator into a general-purpose digital television  
decoder platform, a secure boot loader is stored  
definitively in a protected and non-rewritable memory  
10 zone of the platform. A message is broadcast  
periodically in the digital television signal coming from  
an operator that is designed to be accessible, the  
message containing the application program for making the  
platform suitable for decoding the data stream of the  
15 television signal from the operator and for processing  
the services. The message includes an electronic signal.  
On reception, the messages containing the program are  
selected, decoded, and written into the rewritable  
program memory, optionally on user command.  
20

25  
30  
35 Translation of the title and the abstract as they were when originally filed by the  
Applicant. No account has been taken of any changes that may have been made  
subsequently by the PCT Authorities acting ex officio, e.g. under PCT Rules 37.2,  
38.2, and/or 48.3.



09/486962

FIG.1.

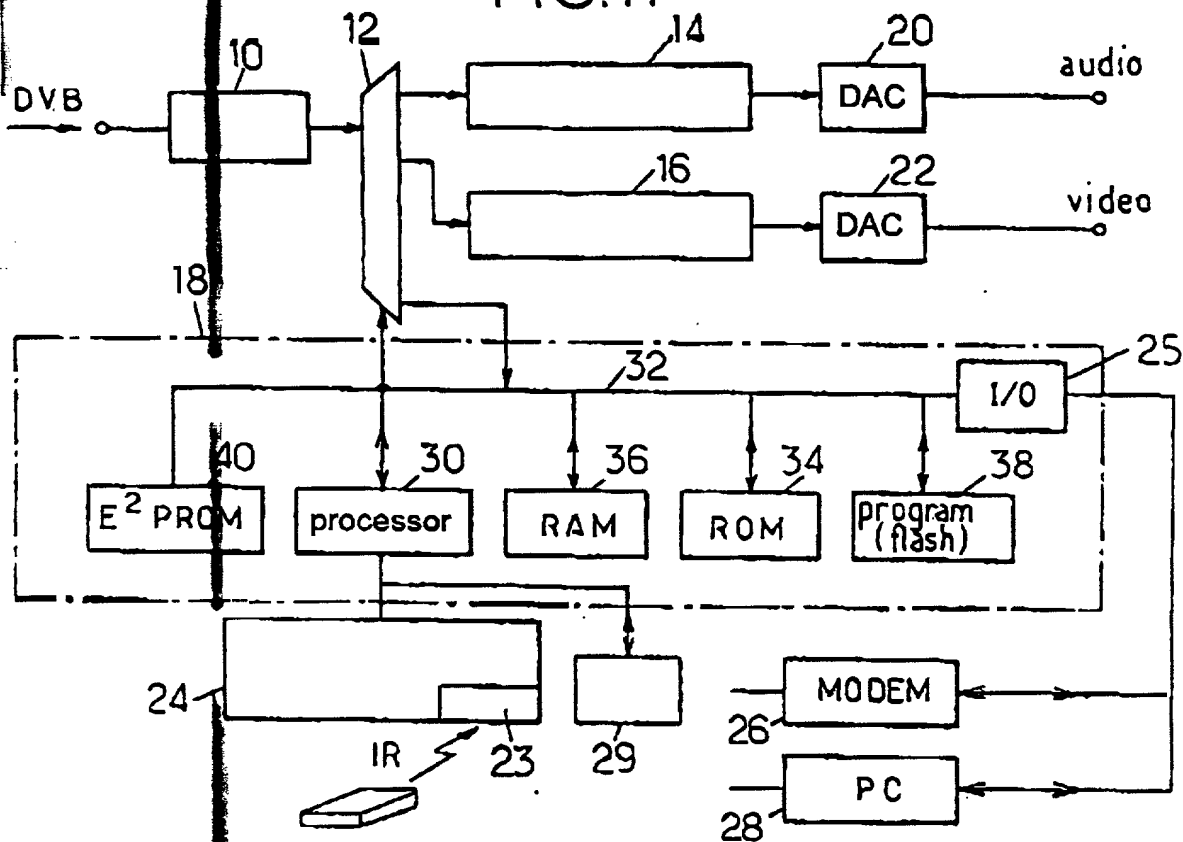


FIG.2.

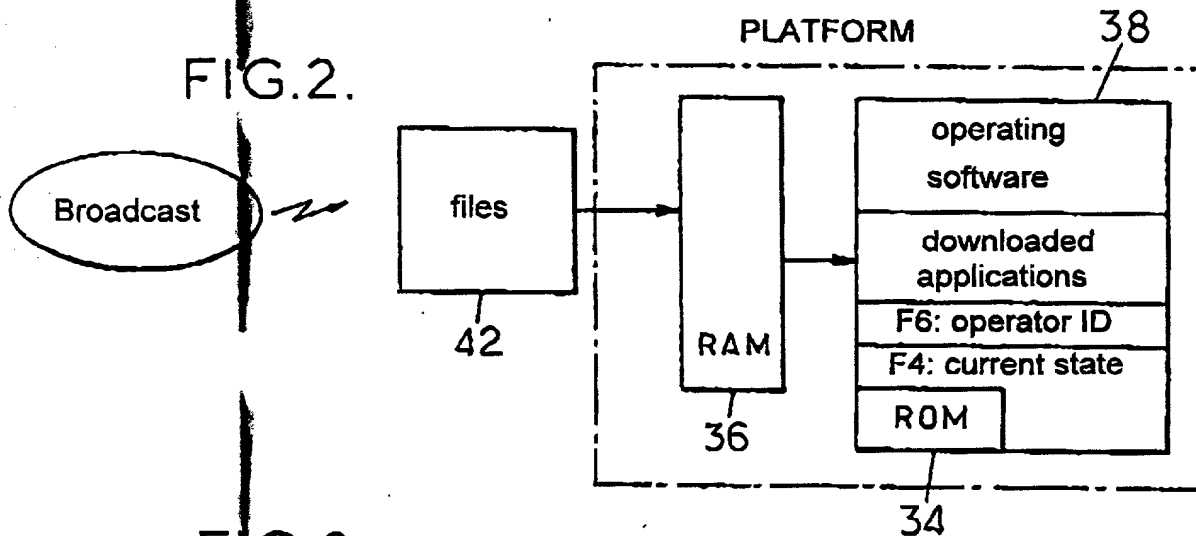
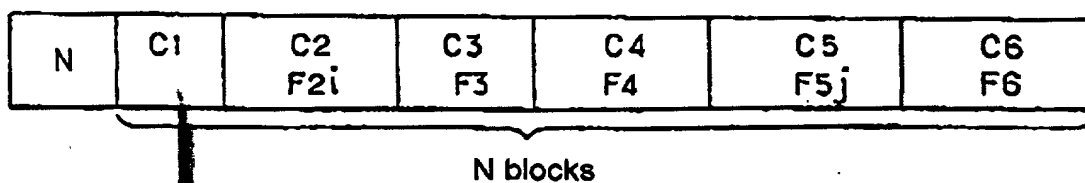


FIG.3.



09/486962

FIG.4.

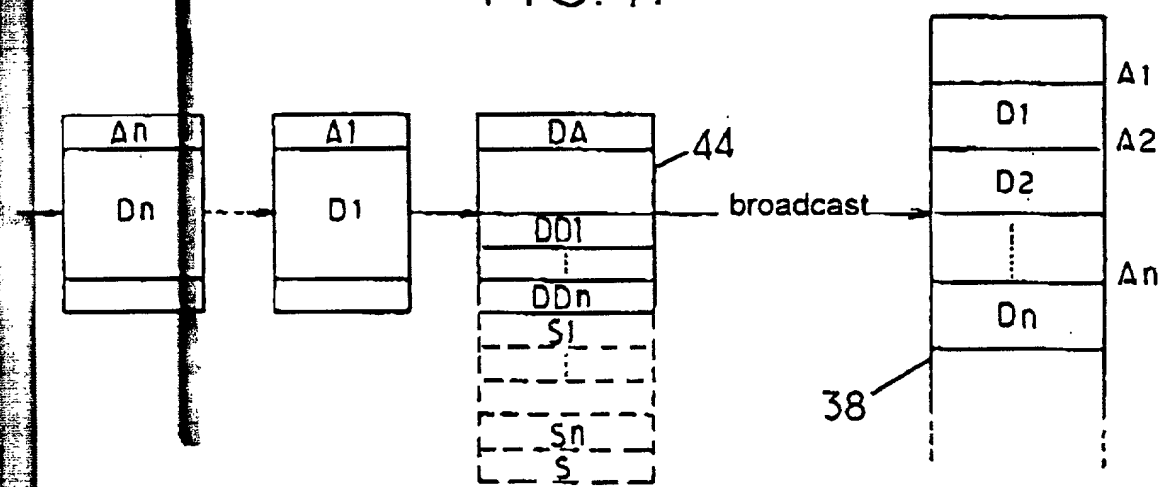
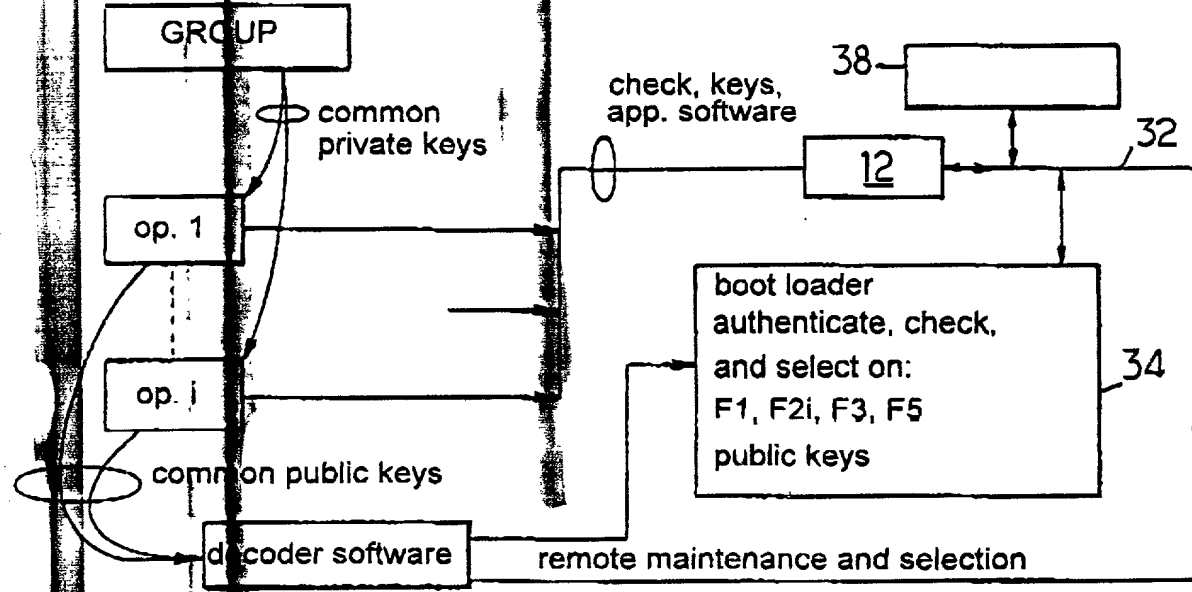


FIG.5.



# DECLARATION FOR USA PATENT APPLICATION

(including Design and National Stage PCT)

Attorney's Docket ID: \_\_\_\_\_

## As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below adjacent to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought

on the invention entitled: A METHOD AND AN INSTALLATION FOR DOWNLOADING A USER DECODER PLATFORM

the specification of which:

X is attached hereto.

(or)

\_\_\_\_\_ was filed on \_\_\_\_\_ as U.S. Application No. or PCT International Application No. \_\_\_\_\_

and (if applicable) was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, where priority is not claimed, any foreign application for patent or inventor's certificate, or any PCT International application, having a filing date before that of the application on which priority is claimed (   ADDITIONAL APPLICATIONS IDENTIFIED ON ATTACHED SHEET)

Prior Foreign Application No.

Country

Day/Month/Year Filed

Priority Not Claimed

97 11014

FRANCE

04/09/1997

I hereby claim the benefit under 35 U.S.C. 120 of any U.S. application(s), or 365(c) of any PCT application designating the U.S., listed below, and insofar as the subject matter of each claim of this application is not disclosed in the prior U.S. or PCT application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT filing date of this application. (   ADDITIONAL APPLICATIONS IDENTIFIED ON ATTACHED SHEET)

U.S. or PCT Parent Application No.

Parent Filing Date (Day/Month/Year)

Parent Patent No. (if applicable)

PCT/FR98/01879

02/09/1998

As a named inventor, I hereby appoint the registered practitioners of **LARSON & TAYLOR** associated with Customer Number **000881** to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith. Direct all correspondence to that Customer Number.

Direct all telephone calls to \_\_\_\_\_ at TEL (703) 739-4900 (Fax: 703-739-9577) e-mail: \_\_\_\_\_

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1000 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

<b>SOLE OR FIRST INVENTOR</b>		Citizenship	<u>FRENCH</u>
Given Name (first and middle (if any))	<u>Jean-Jacques</u>	Family Name or Surname	<u>CHEVREUL</u>
Full Post Office Address	<u>18 rue Laubeuf, 78360 MONTESSON</u>		
Residence - City, State/Country (if different from PO address)	<u>FRANCE</u>		
SIGN AND DATE HERE Inventor's Signature <u>[Signature]</u>		Date	<u>29/02/2000</u>

<b>SECOND JOINT INVENTOR (if any)</b>		Citizenship	<u>FRENCH</u>
Given Name (first and middle (if any))	<u>Michel</u>	Family Name or Surname	<u>PONS</u>
Full Post Office Address	<u>11 rue Nouvelle, 95290 L'ISLE ADAM</u>		
Residence - City, State/Country (if different from PO address)	<u>FRANCE</u>		
SIGN AND DATE HERE Inventor's Signature <u>[Signature]</u>		Date	<u>29/02/2000</u>

<b>THIRD JOINT INVENTOR (if any)</b>		Citizenship	
Given Name (first and middle (if any))		Family Name or Surname	
Full Post Office Address			
Residence - City, State/Country (if different from PO address)			
SIGN AND DATE HERE Inventor's Signature		Date	

<b>FOURTH JOINT INVENTOR (if any)</b>		Citizenship	
Given Name (first and middle (if any))		Family Name or Surname	
Full Post Office Address			
Residence - City, State/Country (if different from PO address)			
SIGN AND DATE HERE Inventor's Signature		Date	

LARSON & TAYLOR • 1199 North Fairfax Street • Suite 900 • Alexandria Virginia 22314

11/98

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jean-Jacques CHEVREUL and Michel PONS

Serial No:


Filed:

For: A METHOD AND AN INSTALLATION FOR DOWNLOADING A USER DECODER  
PLATFORM

DECLARATION

I, Andrew Scott Marland, of 35, avenue Chevreul, 92270 BOIS COLOMBES, France, declare that I am well acquainted with the English and French languages and that the attached translation of the French language PCT international application, Serial No. PCT/FR98/01879 is a true and faithful translation of that document.

All statements made herein are to my own knowledge true, and all statements made on information and belief are believed to be true; and further, these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any document or any registration resulting therefrom.

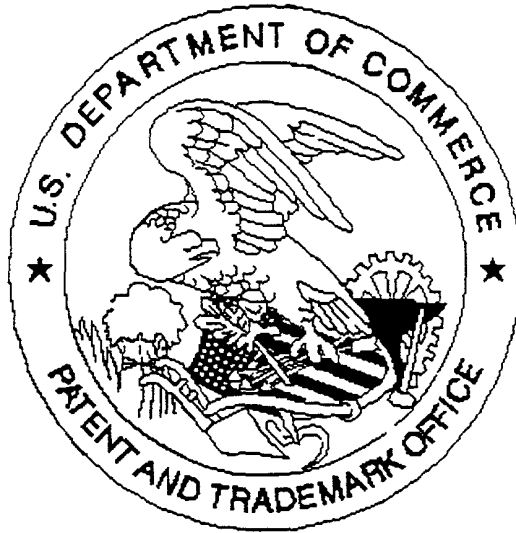


Date: February 25, 2000

Andrew Scott Marland

---

United States Patent & Trademark Office  
Office of Initial Patent Examination -- Scanning Division



Application deficiencies were found during scanning:

☐ Page(s) \_\_\_\_\_ of \_\_\_\_\_ were not present  
for scanning. (Document title)

☐ Page(s) \_\_\_\_\_ of \_\_\_\_\_ were not present  
for scanning. (Document title)

☒ Scanned copy is best available.

*Best available copies for spec.*